
Adjusted Community Rate (ACR) and Plan Benefit Package (PBP) 2001 Pre-Upload Requirements and Upload Instructions Version 1.0

How to prepare for, manage, and upload the ACR and PBP 2001 software for CY 2001

Part 1 - Pre-Upload Requirements

General Pre-Upload Submission Requirements

For Contract Year 2001, the General Pre-Upload Submission Requirements presented below apply to all ACRP transaction types:

- Initial Applications;
- Renewals;
- Mid-Year Benefit Enhancements;
- Service Area Expansions (SAEs); and
- Plan Corrections.

Before you upload an Initial Application, a Renewal, a Mid-Year Benefit Enhancement, a SAE, and/or a Plan Correction submission, please verify that all of the following statements are true:

- The UserID that will be used to upload your data is the same UserID that was used to download the ACR/PBP software tools. If you are uploading for another user, the UserID in the file that you upload must match the proxy UserID.
- The Summary of Benefits (SB) Patch file has been installed and executed in the same directory where you installed the PBP 2001 software. The SB patch should be executed prior to generating and verifying your SB reports.
- All data in the PBP software has been verified and all sections have been marked as completed.
- An ACR spreadsheet exists in the specified directory for all plans (Plan IDs) within all contracts (H Numbers) for which you are responsible.
- Version 1.3 of the APV software has been installed and executed for all H Numbers and plans (Plan IDs).
- The H Number (cell C8 on the Cover Worksheet of the ACR) should match the organization number that forms part of the file name for the ACR spreadsheet (e.g., For H Number H1234, the file name of the ACR spreadsheet would be 1234###.XLS).
- The Plan ID (cell C9 on the Cover Worksheet of the ACR) should match the Plan ID that forms part of the file name for the ACR spreadsheet (e.g., For H Number H1234, Plan ID 001, the file name of the ACR spreadsheet would be 1234001.XLS).
- There are no "errors" in your ACR spreadsheets.
- The service areas (i.e., State and County Codes) entered in the Part III text fields provided on Worksheet A1 of the ACR are the same as those identified on HPMS and downloaded as part of the PBP 2001 for the H Number/Plan ID combination.
- The version number (cell G1 on the Cover Worksheet) of the ACR spreadsheet that you have used to document your data collection results must be V2001.6.
- The Name of the M+C Plan (cell B6 in Line 1 of Column A) is correct on the Cover Worksheet of the ACR.

- The Type of Plan (cell C10 in Line 5 of Column A) is correct on the Cover Worksheet of the ACR.

Note: If you have already used the upload feature in PBP 2001 to create a compressed (zipped) file to upload, and you subsequently make changes to that data in either the PBP 2001 or ACR, you must rerun the upload feature to create a new compressed file and re-upload.

To ensure a successful upload, we strongly recommend that you **READ** the additional Pre-Upload Requirements specific to each transaction type prior to initiating the upload process.

Initial Applications and Renewals

Pre-Upload Requirements

There are no additional pre-upload requirements for Initial Applications or Renewals.

Pre-ACRP Approval Requirements

Your plan cost and benefit data will not be forwarded for review and approval until the following conditions have been satisfied:

- All plans (Plan IDs) for an H Number have been received.
- All counties in your service area that were pending HCFA approval at the time of download of the ACR/PBP 2001 have been approved as part of your service area for Contract Year 2001, have been updated by HCFA (from Pending Approval to Approved) in the Plan Information Control System (PICS), and have been made available to you in HPMS.
- All counties in your approved service area have been assigned to at least one plan.

Plan Receipt Requirements

For both ACR/PBP 2001 initial and renewal transaction types, all plans (Plan IDs) for one H Number have to be uploaded, received, and verified in HPMS before they will be forwarded to HCFA for desk review and approval.

Pending County Requirements

Plans that contain pending service area expansion counties will not be forwarded for desk review until the service area expansions have been approved or the pending counties have been removed from the plan.

- HPMS will receive notification of the approval of service area expansions from PICS. Once the approval status has been updated in PICS and received by HPMS, your data will be forwarded for desk review.
- If this approval is not received in the most recent PICS write-off prior to your date of submission, your ACR and PBP 2001 data will not be forwarded to HCFA for desk review and approval. This means that the status of all pending counties must be changed by HCFA from Pending to Approved in PICS (i.e., through the PICS approval and change process) and passed on to HPMS or deleted within HPMS, using the Edit Plan-Specific Information process. This must happen before the system will allow your ACR and PBP 2001 data to be forwarded for desk review and approval.

Unassigned County Requirements

All counties that are part of your approved service area must be assigned to a plan (Plan ID) for Contract Year 2001. If any counties are listed as not assigned to a plan, please do one of the following:

- Assign the county or counties to a plan(s).

- Indicate if it is your organization's intent to request a service area reduction for the designated H Number and county as part of the renewal process. Please remember that this service area reduction action is an indication of intent only. MCOs are required to go through HCFA's established service area reduction process to obtain approval for a reduction in service area. However, HPMS will display a message for an unassigned county if HCFA has not yet approved a service area reduction submitted by the MCO. For CY 2001, HCFA approval of service area reductions will take place as a separate but concurrent process within HPMS.
- If necessary, indicate that the PICS data is incorrect for the designated H Number and county. This may occur when counties are unassigned due to a discrepancy in the PICS data that is used to feed HPMS. HPMS may have then displayed service area data from PICS that is incorrect and according to your records, not part of your approved service area. Please contact your HCFA Plan Manager to help resolve any issues related to service area designations in PICS. HCFA review and approval of reported inconsistencies in PICS data will also take place as a separate but concurrent process.

Mid-Year Benefit Enhancements

Pre-Upload Requirements

For Contract Year 2001, only those plans (Plan IDs within an H Number) for which a Mid-Year Benefit Enhancement has been indicated need to be uploaded.

In addition to the General Pre-Upload Submission Requirements, please verify the following statements are true before you upload your ACR/PBP 2001 Mid-Year Benefit Enhancement submission:

- The H Number has been previously approved by HCFA as an initial application or a contract renewal;
- There are no outstanding Mid-Year Benefit Enhancement transactions for the H Number/Plan ID combination (i.e., HPMS will only process one mid-year benefit enhancement transaction per H Number/Plan ID combination at a time);
- There are no outstanding Service Area Expansion transactions for the H Number/Plan ID combination (i.e., HPMS will not process a Mid-Year Benefit Enhancement transaction for a H Number/Plan ID combination until the Service Area Expansion has been approved);
- There are no outstanding Plan Correction transactions for the H Number/Plan ID combination (i.e., HPMS will not process a Mid-Year Benefit Enhancement transaction for a H Number/Plan ID combination until the Plan Correction has been approved);
- There are no changes to the service areas associated with the approved H Number/Plan ID combination;
- All required fields that detail the changes that are being submitted for each H Number/Plan ID combination have been completed (i.e., H Number, Plan ID, Reason for Mid-Year Benefit Enhancement, Detailed Description of Mid-Year Benefit Enhancement, and Proposed Effective Date); and
- The date is no later than July 1, 2001.

Pre-ACRP Approval Requirements

There are no additional requirements to be met before forwarding the Mid-Year Benefit Enhancement submission for review and approval.

Service Area Expansions (SAEs)

Pre-Upload Requirements

For Contract Year 2001, only those plans (Plan IDs within an H Number) for which a Service Area Expansion has been indicated need to be uploaded.

In addition to the General Pre-Upload Submission Requirements, please verify the following statements are true before you upload your ACR/PBP 2001 Service Area Expansion submission:

- The H Number has been previously approved by HCFA as an initial application or a contract renewal;
- If you are expanding your Service Area into a new county, you have created a new plan and documented the benefits and costs in a new ACR/PBP 2001; and
- The date is no later than July 1, 2001.

Pre-ACRP Approval Requirements

There are no additional requirements to be met before forwarding the Service Area Expansion for review and approval.

Plan Corrections

Pre-Upload Requirements

For Contract Year 2001, only those plans (Plan IDs) for which a Plan Correction request has been approved can be uploaded.

In addition to the General Pre-Upload Submission Requirements, please verify the following statements are true before you upload your ACR/PBP 2001 Plan Correction submission:

- The H Number/Plan ID has been previously approved by HCFA as an initial application or a contract renewal;
- The Plan Correction request for the H Number/Plan ID has been accepted by HCFA/CHPP.
- There are no outstanding Plan Correction transactions for the H Number/Plan ID combination (i.e., HPMS will only process one Plan Correction transaction per H Number/Plan ID combination at a time);
- There are no outstanding Mid-Year Benefit Enhancement transactions for the H Number/Plan ID combination (i.e., HPMS will not process a Plan Correction transaction for a H Number/Plan ID combination until the Mid-Year Benefit Enhancement has been approved);
- There are no outstanding Service Area Expansion transactions for the H Number/Plan ID combination (i.e., HPMS will not process a Plan Correction transaction for a H Number/Plan ID combination until the Service Area Expansion has been approved); and
- There are no changes to the service areas associated with the approved H Number/Plan ID combination.

Pre-ACRP Approval Requirements

There are no additional requirements to be met before forwarding the Plan Correction submission for review and approval.

Part 2 - PBP 2001 Zip File Creation

After reviewing the Pre-Upload Requirements associated with the plans (Plan IDs) that your organization intends to offer for Contract Year 2001, you are ready to begin uploading your data collection results by creating a zip file of your ACR and PBP data.

Reminder: Before creating a zip file of your ACR and PBP data, you must install and execute the SB Patch AND the APV software (see Part 1 - Pre-Upload Requirements). SB sentences generated using the wrong version of the PBP software will be rejected. Data that has not been validated by the APV tool will be rejected.

Step 1 - From the PBP 2001 Management Screen, select either **Actions/Upload** from the menu bar, or the **UPLOAD** button from the tool bar.

*Note: The **Upload** functionality will only be enabled after data entry has been completed for at least one plan. When all the data are entered for a plan, the status for that plan will be designated in the PBP 2001 Management Screen as "Plan Completed".*

Step 2 - The PBP 2001 system will display a pop-up window with HCFA disclaimer information related to the upload. To continue the upload, select **YES**. You will be directed to the **PBP Upload** screen. To discontinue the upload, select **No** to return to the PBP 2001 Management Screen.

Note: The HCFA disclaimer pop-up window reminds MCOs that they are expected to review and approve the Summary of Benefits (SB) prior to uploading it. This message is intended to encourage organizations to review their Summary of Benefits, ACR, and PBP prior to submission and should help to eliminate corrections required to the PBP resulting from the marketing review.

Step 3 - Next, the PBP 2001 system will display a pop-up window with instructions to establish a connection to the MDCN. Click on **OK** and connect to the MDCN with your assigned HITS ID.

*Note: MDCN connection is external to the PBP system. The **PBP Upload** screen should remain open while you connect to the MDCN. Do **NOT** close the **PBP Upload** screen prior to connecting to the MDCN.*

Step 4 - After you have successfully connected to the MDCN, return to the **PBP Upload** screen to begin verifying the Summary of Benefits data for all plans in your organization.

Step 5 - In the **PBP Upload** screen, highlight a plan from the **Select a Plan to Verify** column and click on the **Verify** button.

Note: You may highlight and verify only one plan at a time.

Step 6 - Next, you will receive a pop-up window stating that the Summary of Benefits report must be generated and reviewed for plan verification. Select **Yes** to begin the Summary of Benefits report verification. Select **No** to return to the **PBP Upload** screen.

*Note: You must complete the verification of a plan in Step 6 in order to move your plan to the **Select Plan(s) to Upload** column in the PBP Upload screen.*

Step 7 - Next, the PBP system will generate a Summary of Benefits report for the selected plan. Review both the **Introduction** AND the **Summary of Benefits** to verify the Summary of Benefits sentences for the selected plan.

*Note: The **Introduction** is not applicable for all plan types. If it is not applicable for your plan type, then the Introduction button will be disabled and a review will not be required.*

Step 8 - After you have reviewed both the **Introduction** AND the **Summary of Benefits**, select **Close** on the Summary of Benefits report pop-up window.

Step 9 - Next, you will receive a pop-up window asking if the plan has passed verification. Select **Yes** if the plan passes verification. Select **No** if the plan does not pass verification.

*Note: If you select **Yes** to the plan verification then your plan will be moved to **Select Plan(s) to Upload** column.*

Step 10 - After you have verified the plan(s) for your H number, you may highlight the plan(s) to upload from the **Select Plan(s) to Upload** column of the **PBP Upload** screen. Highlight one or more plans from the **Select Plan(s) to Upload** column and select the **Upload** button at the bottom of the **PBP Upload** screen.

Step 11 - After you have selected Upload, you will receive a pop-up window requesting that you verify the current PBP2001/ACR spreadsheet path. Select **Yes** if the directory path displayed in the pop-up window is correct. Select **No** if the directory path displayed in the pop-up window is not correct. *If you select No you will be prompted to select the correct path.*

Step 12 - Next, if you have successfully executed the APV software for all H numbers and plans prior to upload, then the ACR and PBP 2001 data will be zipped into a file.

*Note: If you have **NOT** executed the APV software for all plans then you will not be able to continue with the upload. The PBP system will display a pop-window with a list of H numbers and plans that require validation in order to continue with the upload. Click on **OK** and then **Cancel** the upload request in the **PBP Upload** screen.*

Step 13 - After the PBP system zips your ACR and PBP 2001 data into an upload file, the PBP software will connect to the HPMS Web Site using the default Internet browser on your computer which must be Internet Explorer 4.X or higher. The software will automatically transfer you to the HPMS Logon Page and the PBP software will remain disabled until upload is completed and the browser has been exited.

*Note: If you have not connected to the MDCN, then the **PBP Upload** screen will display a message that the automatic transfer to HPMS could not be established. If appropriate, follow the instructions displayed in this screen to resolve your MDCN connection problem.*

Part 3 - ACR/PBP 2001 HPMS Upload Submission

After successfully zipping the benefit and cost data in the PBP 2001 system, you are ready to submit these results through the HPMS Web Site for desk review and HCFA approval. Please be sure to **READ** the Pre-Upload Requirements from the HPMS Web Site prior to submitting your uploaded data collection results.

Prior to submitting the upload of your ACR and PBP 2001 data collection results to HPMS, please verify the following statements are true:

- All counties in your approved service area have been assigned to at least one plan.
- All counties that have been approved as part of your service areas for Contract Year 2001 have been updated (from Pending Approval to Approved) in the Plan Information Control System (PICS) and made available to you in HPMS.

ACR/PBP 2001 HPMS Upload Submission Instructions

After reviewing the Pre-Upload Requirements associated with the plans (Plan IDs) that your organization intends to offer for Contract Year 2001, you are ready to submit your ACR and PBP 2001 data. The ACR and PBP 2001 data for Contract Year 2001 must be uploaded through the HPMS Web Site.

Note: If you have already used the upload feature in PBP 2001 to create a compressed (zipped) file to upload, and you subsequently make changes to that data in either the PBP 2001 or ACR, you must rerun the upload feature in PBP 2001 to create a new compressed file (See Part 2 above).

Step 1 – Connect and logon to **MDCN**.

Note: If you initiated the upload process and launched the browser from the PBP software, skip to Step 6.

Step 2 - Open Internet Explorer and go to **http://32.82.208.82**.

Step 3 - From the **Available Links** menu in the left-hand column of the **HPMS Home Page**, click on **ACRP** under the Projects/Modules section.

Step 4 - From the Select a Contract Year Page, select **ACR/PBP 2001** from the Available Links menu. You will now be on the ACR/PBP 2001 Start Page.

Step 5 - From the ACR/PBP 2001 Start Page, select **Upload: Upload ACRP Submission** from the Available Links menu.

Step 6 - From the Upload ACRP Submission Page, review the table that lists the plans HPMS expects to be uploaded. Determine if the H Numbers, Plan IDs and Plan Names proposed for upload match those that HPMS has on record as being downloaded by your MCO. Any discrepancies identified will have to be resolved using the **HPMS Edit Plan-Specific Information** capability for adding, editing, and deleting plan information.

*Note: You can upload your own plans or the plans of other users who share H Numbers with you. To upload another user's plans, click on **select user proxy here** at the top of the Upload ACRP Submission Page. You will now be on the **Upload User Proxy Selection Page**. Next, in the Upload User Proxy Selection Page, click on the **Act as proxy for:** radio button and then select one of the users in the list. To cancel your proxy, click on the **Upload my own plans** radio button. Click on **submit** after you have chosen the appropriate radio button. You will now be returned to the Upload ACRP Submission Page. The proxy relationship that you have established is only active for the current upload session.*

Step 7 - If appropriate, review the table providing the plans that have not yet been uploaded to HPMS on the Upload ACRP Submission Page. From the **Upload This Plan** column, check the plans for upload then click on the **next** button to continue to the Upload ACRP Submission **Pre-Desk Review Warnings** Page. The plans selected here should match those selected on the PBP Upload screen.

Note: If appropriate, you may upload one H Number/Plan ID combination (i.e., one PBP and one ACR) at a time. Although you may still upload multiple plans at one time, for Contract Year 2001 HPMS no longer requires that MCOs upload 'all' plans for an H Number at one time.

Step 8 - Review the **Pre-Desk Review Warnings** displayed for your plan(s). Data for an H Number will not be forwarded to HCFA for desk review unless all of the conditions noted on this page are met.

Step 9 - If appropriate, review the table providing the counties within your service area that are currently pending HCFA approval. Data for an H Number will not be forwarded for desk review and HCFA approval until all pending counties have either been approved or deleted within HPMS.

Note: Contact your HCFA Plan Manager to resolve any issues related to the approval of these counties as part of your service area and to ensure that counties that have been approved for Contract Year 2001 have also been updated in PICS.

Step 10 - If appropriate, review the table providing the counties within your approved service area that have not been assigned to a plan for Contract Year 2001. Data for an H Number will not be forwarded for desk review and HCFA approval until all of these counties have been assigned to at least one plan and/or have been designated as a Service Area Reduction or as an inconsistency in PICS. In the Action column of the Unassigned Counties table, designate an action for each unassigned county as either **None**, **Service Area Reduction**, or **PICS is incorrect**.

*Note: If you select **None** as an action, then your ACRP data will not be forwarded for desk review until you assign the county to at least one plan. To assign a county to a plan, return to the ACRP Start Page and click on the **Edit Plan-Specific Information** link.*

*The **Service Area Reduction** action is an indication of intent only. MCOs are required to go through HCFA's established service area reduction process to obtain approval for a reduction in service. However, within HPMS, the indication of intent to request a service area reduction will indicate to the system the reason that the county is unassigned. Concurrently, this information will be made available to the HCFA Plan Managers to review and approve. For CY 2001, HCFA approval of service area reductions will take place as a separate but concurrent process within HPMS.*

Counties may also be unassigned due to a discrepancy in the PICS data that is used to feed HPMS. HPMS may have received service area data from PICS that is incorrect, and according to your records, not part of your approved service area. Please contact your HCFA Plan Manager to help resolve any issues related to service area designations in PICS.

Step 11 - Once you have determined that all of the ACR/PBP 2001 **Pre-Desk Review Warnings** have been met, you are ready to submit your data collection results. Click on the **next** button to continue to the **Upload Software Page**.

Step 12 - Enter the name of the file that you would like to upload. If you are unsure of the file name and/or location, press the **browse** button to look for the file on your computer.

Note: If you initiated the upload process and launched your Internet browser from the PBP software, then the location of your upload zip file should be displayed. Otherwise, if you installed the PBP software to a default directory, then the upload zip file will be located at either c:\program files\pbp2001\pbpuplod.zip or d:\program files\pbp2001\pbpuplod.zip.

You may upload your ACRP data one or more times before July 4, 2000. HPMS will use the last upload received prior to July 4, 2000 as the official submission. After this official submission, HCFA will only accept resubmissions when requested by an ACRP desk reviewer. However, HPMS will accept new uploads after July 3, 2000 from those H Numbers that have never uploaded before for CY 2001 (i.e., the H Number had no record of uploads prior to July 4, 2000).

In addition, if you are resubmitting your ACRP 2001 data, it is strongly recommended that you check the date of the pbpuplod.zip file to ensure that you are uploading the latest version of the pbpuplod.zip file.

Step 13 - Verify that the following information is correct:

- Your Name:
- Your E-mail Address:

If this information is not correct, press the **Change** button to edit.

Step 14 – Select the **send** button to upload your file. After selecting the send button, you will receive a pop-window with a reminder to check the date of the pbpuplod.zip file to ensure that you are uploading the latest copy of your

data. Click on **OK** in the pop-up window and then wait for the PBPMAN picture to appear. Once the PBPMAN picture appears on the screen, your file has been successfully uploaded to HPMS. **Please make a note of your Upload Confirmation Number.**

Step 15 - Next, exit your Internet browser, return to the PBP 2001 software and indicate in the pop-up window whether the HPMS upload process was successful. If the upload was successful, enter the confirmation number and click on **OK**.

Preliminary validation of the data in the file that you uploaded will be performed prior to sending the file on to HCFA for full desk review and approval. Within the next few days, you will receive e-mail notification of the results of this preliminary validation as well as your Upload Confirmation Number. If you do not receive an email confirming upload, receipt, and validation of your file, please call or e-mail the HPMS Help Desk (1-800-220-2028 or HPMS@nerdvana.fu.com).